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1c978 U.S. PTO

# UTILITY PATENT APPLICATION TRANSMITTAL

(For new Non-provisional applications under 37 CFR 1.53(b))

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09/977410

10/15/01

Attorney Docket No.: SEM4492P0102US  
 First Named Inventor: GRAHAM, Lyndon W., et al.  
 Express Mail Label No. EL 904822134US

Box PATENT APPLICATION  
 Commissioner For Patents  
 Washington, D.C. 20231

Sir:

Transmitted herewith for filing is a new utility patent application of inventor(s): **Lyndon W. Graham, Kyle Hanson, Thomas L. Ritzdorf, and Jeffrey I. Turner** and entitled: **ELECTROPLATING SYSTEM HAVING AUXILIARY ELECTRODE EXTERIOR TO MAIN REACTOR CHAMBER FOR CONTACT CLEANING OPERATIONS**. For purposes of publication, this patent application is assigned to: **Semitool, Inc.**

## Application Elements:

1. ☐ Applicant claims small entity status (See 37 CFR 1.27.)
2. ☒ Specification containing 38 pages.
3. ☒ Drawings: 10 Sheets of ☒ formal drawings ☐ informal drawings
4. ☒ Oath or Declaration
  - a. ☐ An executed declaration or oath for the utility patent application including a power of attorney;
  - b. ☐ An unexecuted declaration or oath for the utility patent application including a power of attorney;
  - c. ☒ Copy from a prior application (37 CFR 1.63(d), for continuation/divisional with No. 17 completed.
  - i. ☐ Signed statement attached deleting inventor(s) named in the prior application (see 37 CFR 1.63(d)(2) and 1.33(b).
5. ☒ Application Data Sheet (See 37 CFR 1.76.)
6. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix).
7. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary).
  - ☐ Computer Readable Form (CFR)
  - ☐ Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ Paper
  - ☐ Statements verifying identity of above copies.

## Accompanying Application Parts:

8. ☐ Assignment Papers (cover sheet, document(s) and requisite fee).
9. ☐ 37 CFR 3.73(b) Statement (where there is an assignee)  
☐ Power of Attorney
10. ☐ English Translation document (if applicable)
11. ☐ Information Disclosure Statement (IDS), including PTO-1449  
☐ Copies of IDS Citations
12. ☒ Preliminary Amendment
13. ☒ Return Postcard for PTO Mail Room Date Stamp (should be specifically itemized).
14. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed).
15. ☐ Request and Certification For Nonpublication Under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.

16. ☐ Other \_\_\_\_\_

17. ☒ **If Continuing Application**, check appropriate box and supply the requisite information below and in a preliminary amendment (see also Application Data Sheet):

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. USSN 09/387,338, filed August 31, 1999.

Prior application information: Examiner: \_\_\_\_\_ Group/Art Unit: \_\_\_\_\_

**For CONTINUATION or DIVISIONAL Applications only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4c, is considered as being part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**Fee Calculation** The filing fee has been calculated as shown below:

Small Entity						Large Entity	
For	No. Filed	No. Allowed	No. Extra	Rate	Fee	Rate	Fee
Basic Fee					\$370.00		\$740.00
Total Claims	4	- 20 =	0	x \$9.00	\$	x \$18.00	\$
Indep. Claims	4	- 3 =	1	x \$42.00	\$	x \$84.00	\$84.00
Multiple Dependent Claims Present				+ \$140.00	\$	+ \$280.00	\$
				TOTAL	\$	TOTAL	\$824.00

18. ☒ A check in the amount of \$ 824.00 to cover the filing fee is enclosed.

19. ☐ Please charge my Deposit Account No. 04-1644 in the amount of \$ \_\_\_\_\_.

20. ☒ The Commissioner is authorized to charge payment of the following amounts associated with this communication or credit any overpayment to Deposit Account No. 04-1644:
- ☒ Additional filing fees under 37 CFR 1.16 or deficiencies in remittances therefor.
  - ☒ Additional processing fees under 37 CFR 1.17 or deficiencies in remittances therefor.
  - ☒ **ONLY if applicant has partially paid** the patent issue fee under 37 C.F.R. §1.18, then the **deficiency** shall be charged to Deposit Account No. 04-1644, and the Commissioner is authorized to so charge the Deposit Account.

21. **Correspondence Address:**

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and/or Bar Code Label:



01942

Date: October 15, 2001

Attorney's Signature

*Keith V. Rockey*

Keith V. Rockey, Reg. No. 24,713

**CERTIFICATE OF MAILING BY EXPRESS MAIL**

I hereby certify that this Utility Patent Application Transmittal, enclosed application, and any other documents referred to as enclosed herein, are being deposited in an envelope with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and addressed to Box PATENT APPLICATION, Commissioner for Patents, Washington, D.C. 20231.

Express Mail Label No.: EL 904822134US

Date of Deposit: October 15, 2001

Typed/Printed Name of Person Signing: Margaret M. Kipley

Signature:

*Margaret M. Kipley*